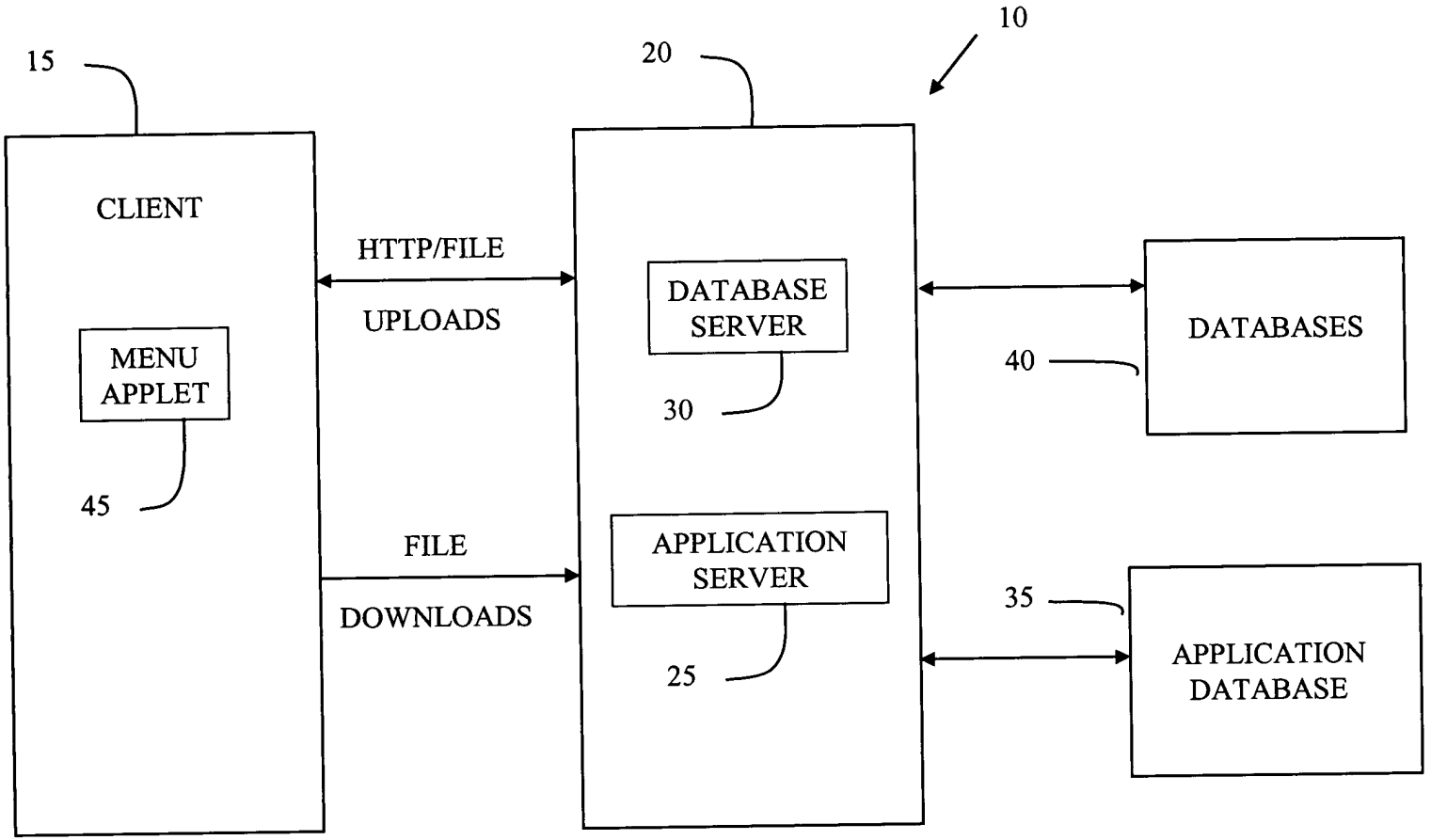

10
15
20
CLIENT
HTTP/FILE
UPLOADS
DATABASE SERVER
30
DATABASES
40
MENU APPLET
45
FILE
DOWNLOADS
APPLICATION SERVER
25
35
APPLICATION DATABASE

FIG. 1

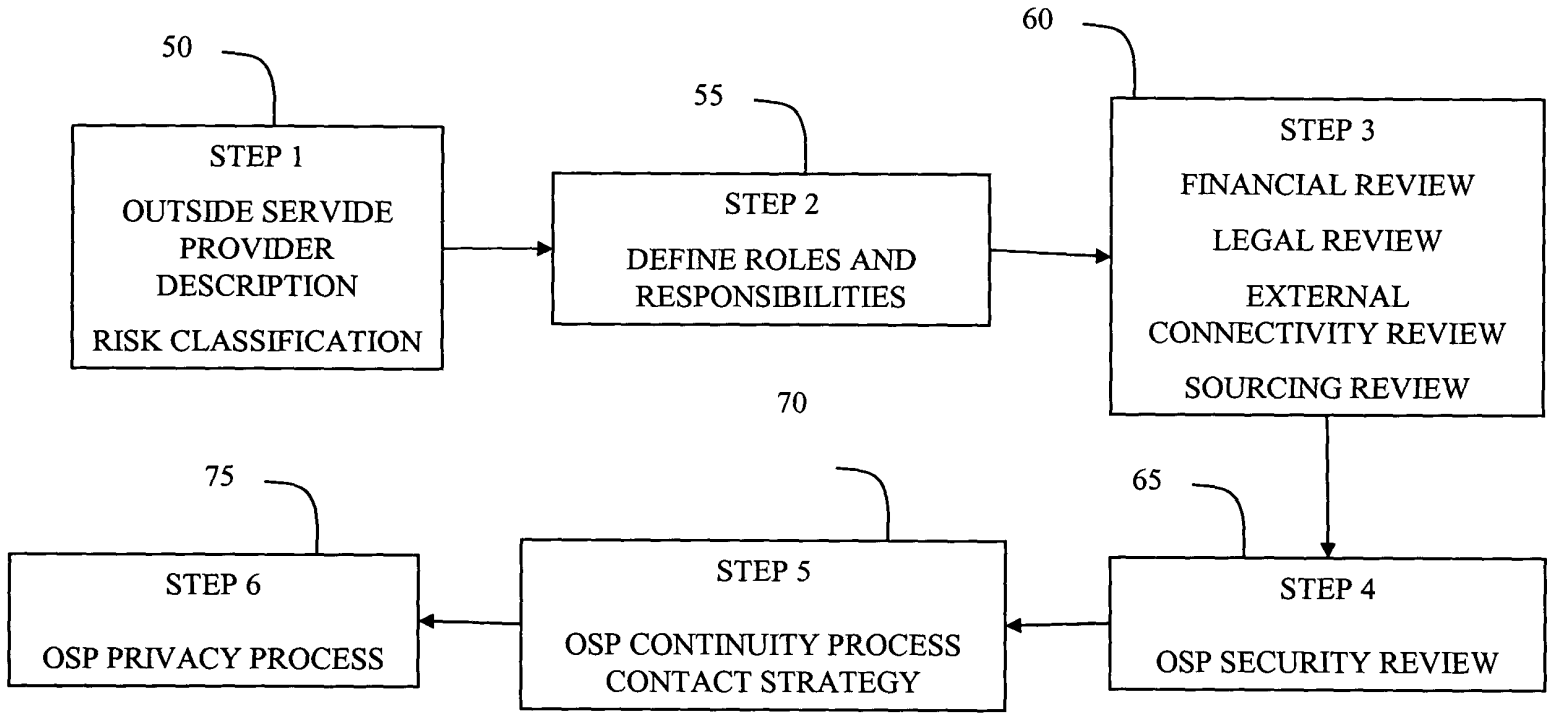

50
STEP 1
OUTSIDE SERVIDE PROVIDER DESCRIPTION
RISK CLASSIFICATION
55
STEP 2
DEFINE ROLES AND RESPONSIBILITIES
60
STEP 3
FINANCIAL REVIEW
LEGAL REVIEW
EXTERNAL CONNECTIVITY REVIEW
SOURCING REVIEW
65
STEP 4
OSP SECURITY REVIEW
70
STEP 5
OSP CONTINUITY PROCESS CONTACT STRATEGY
75
STEP 6
OSP PRIVACY PROCESS

FIG. 2

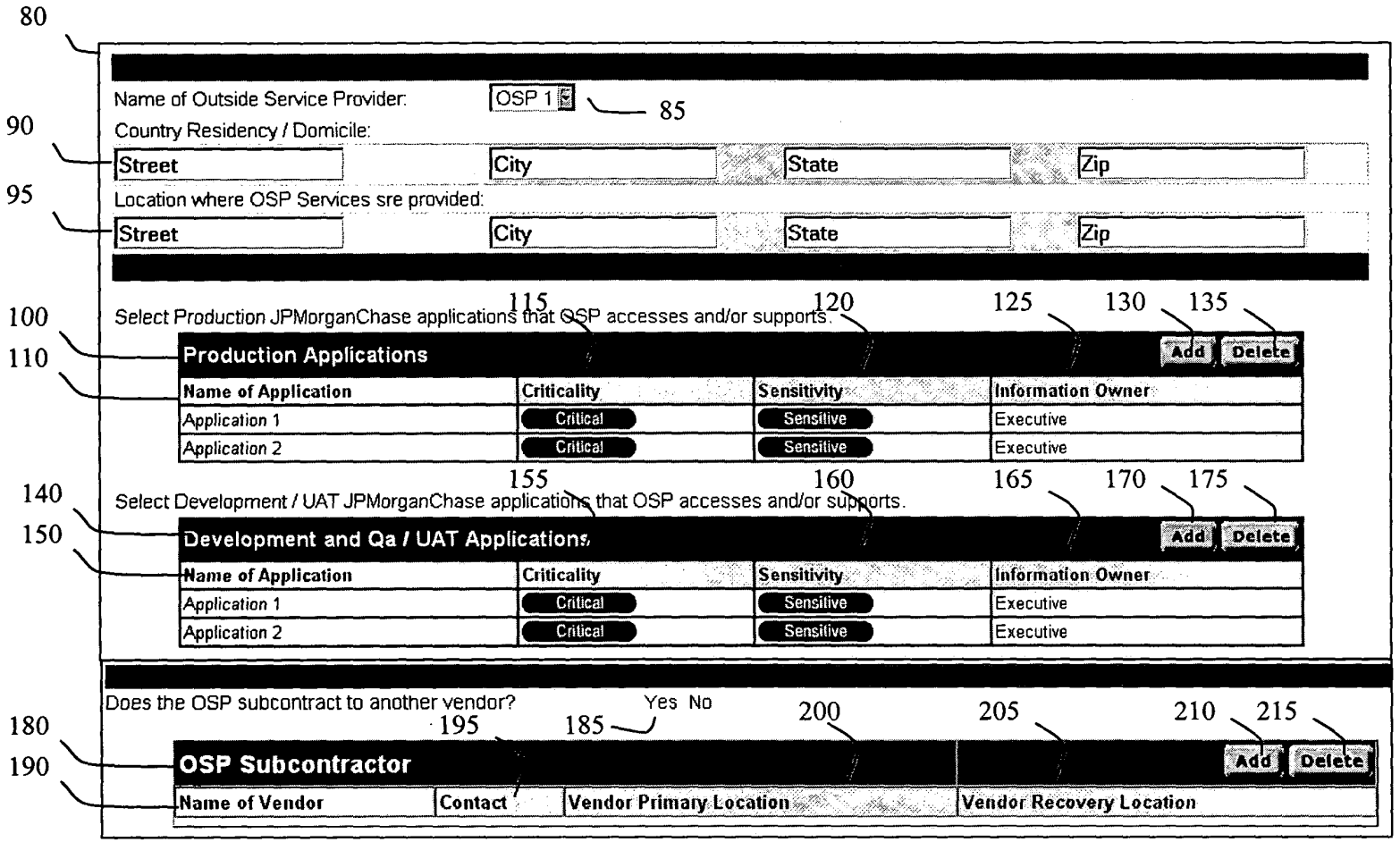

80
Name of Outside Service Provider:
OSP 1
85
90
Country Residency / Domicile:
Street
City
State
Zip
95
Location where OSP Services sre provided:
Street
City
State
Zip
100
Select Production JPMorganChase applications that OSP accesses and/or supports.
115
120
125
130
135
110
Production Applications
Add
Delete
Name of Application
Criticality
Sensitivity
Information Owner
Application 1
Critical
Sensitive
Executive
Application 2
Critical
Sensitive
Executive
140
155
160
165
170
175
Select Development / UAT JPMorganChase applications that OSP accesses and/or supports.
150
Development and Qa / UAT Applications
Add
Delete
Name of Application
Criticality
Sensitivity
Information Owner
Application 1
Critical
Sensitive
Executive
Application 2
Critical
Sensitive
Executive
Does the OSP subcontract to another vendor?
Yes No
180
195
185
200
205
210
215
190
OSP Subcontractor
Add
Delete
Name of Vendor
Contact
Vendor Primary Location
Vendor Recovery Location

FIG. 3

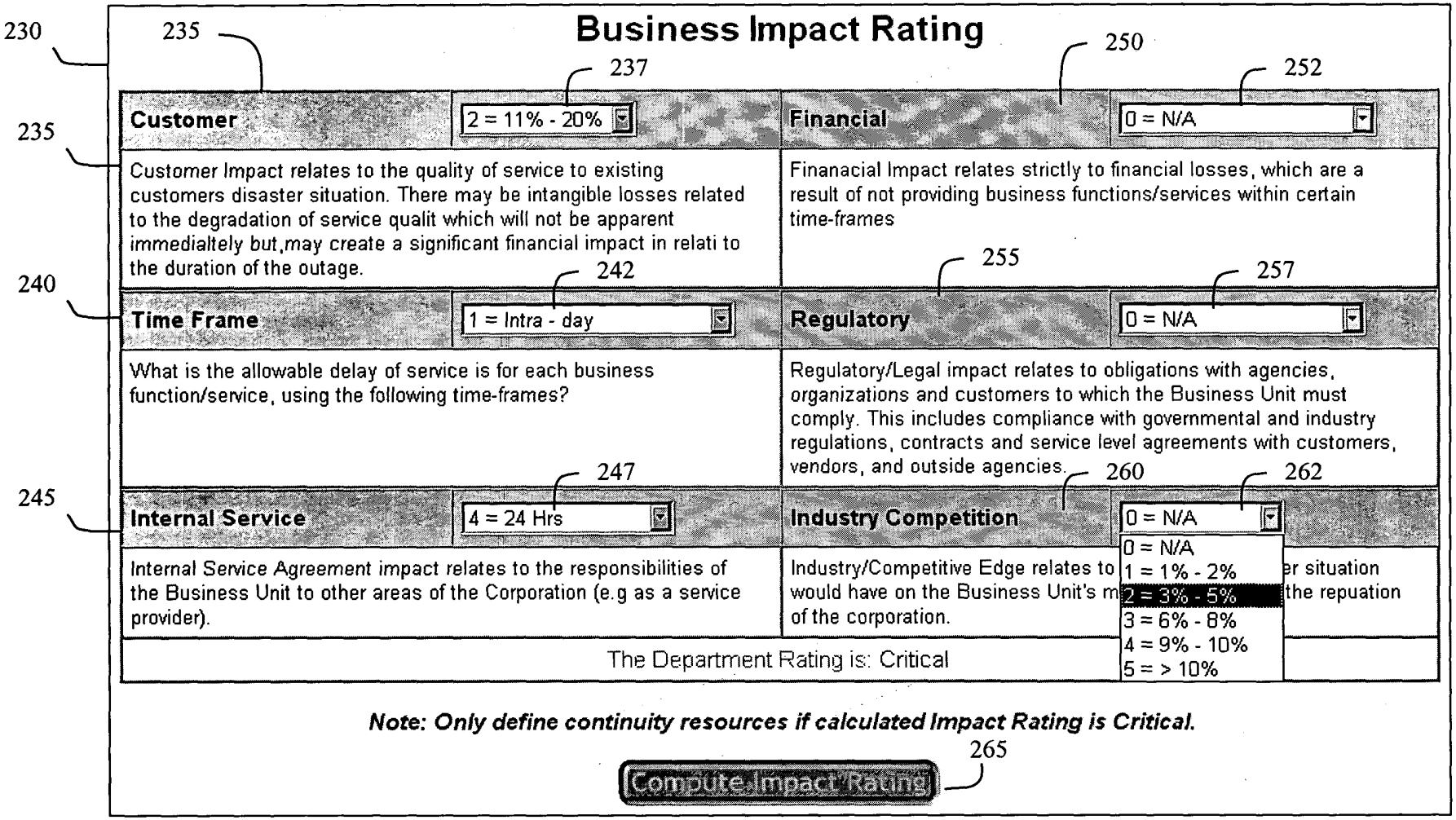

230
235
Business Impact Rating
237
250
252
Customer
2 = 11% - 20%
Financial
0 = N/A
235
Customer Impact relates to the quality of service to existing customers disaster situation. There may be intangible losses related to the degradation of service qualit which will not be apparent immedialtely but,may create a significant financial impact in relati to the duration of the outage.
Finanacial Impact relates strictly to financial losses, which are a result of not providing business functions/services within certain time-frames
240
242
255
257
Time Frame
1 = Intra - day
Regulatory
0 = N/A
What is the allowable delay of service is for each business function/service, using the following time-frames?
Regulatory/Legal impact relates to obligations with agencies, organizations and customers to which the Business Unit must comply. This includes compliance with governmental and industry regulations, contracts and service level agreements with customers, vendors, and outside agencies.
245
247
260
262
Internal Service
4 = 24 Hrs
Industry Competition
0 = N/A
0 = N/A
1 = 1% - 2%
2 = 3% - 5%
3 = 6% - 8%
4 = 9% - 10%
5 = > 10%
Internal Service Agreement impact relates to the responsibilities of the Business Unit to other areas of the Corporation (e.g as a service provider).
Industry/Competitive Edge relates to
would have on the Business Unit's m
of the corporation.
er situation
the repuation
The Department Rating is: Critical
Note: Only define continuity resources if calculated Impact Rating is Critical.
265
Compute Impact Rating

FIG. 4

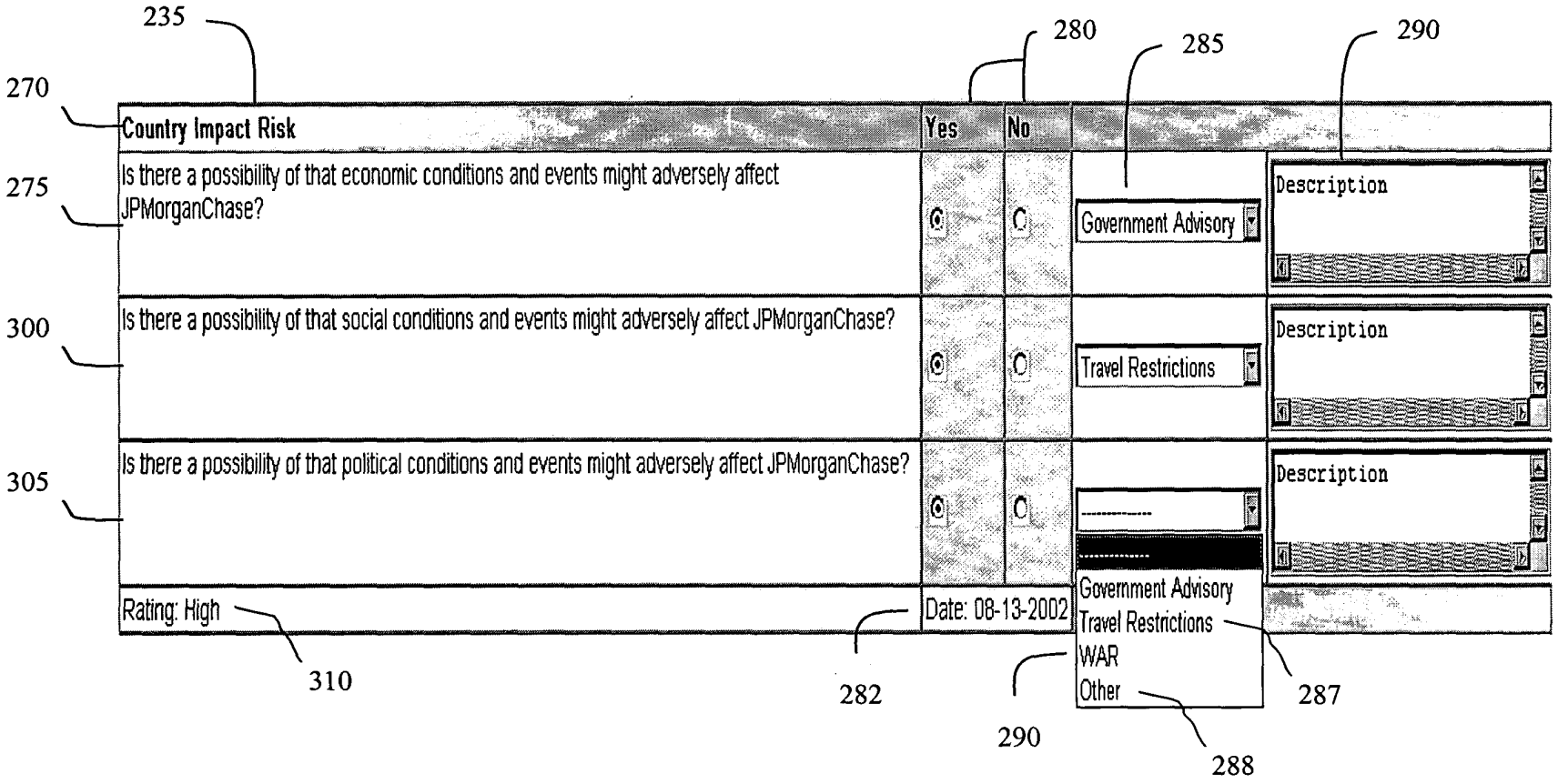

235
280
285
290
270
Country Impact Risk
Yes
No
275
Is there a possibility of that economic conditions and events might adversely affect JPMorganChase?
Government Advisory
Description
300
Is there a possibility of that social conditions and events might adversely affect JPMorganChase?
Travel Restrictions
Description
305
Is there a possibility of that political conditions and events might adversely affect JPMorganChase?
Description
Rating: High
Date: 08-13-2002
Government Advisory
Travel Restrictions
WAR
Other
310
282
290
287
288

FIG. 5

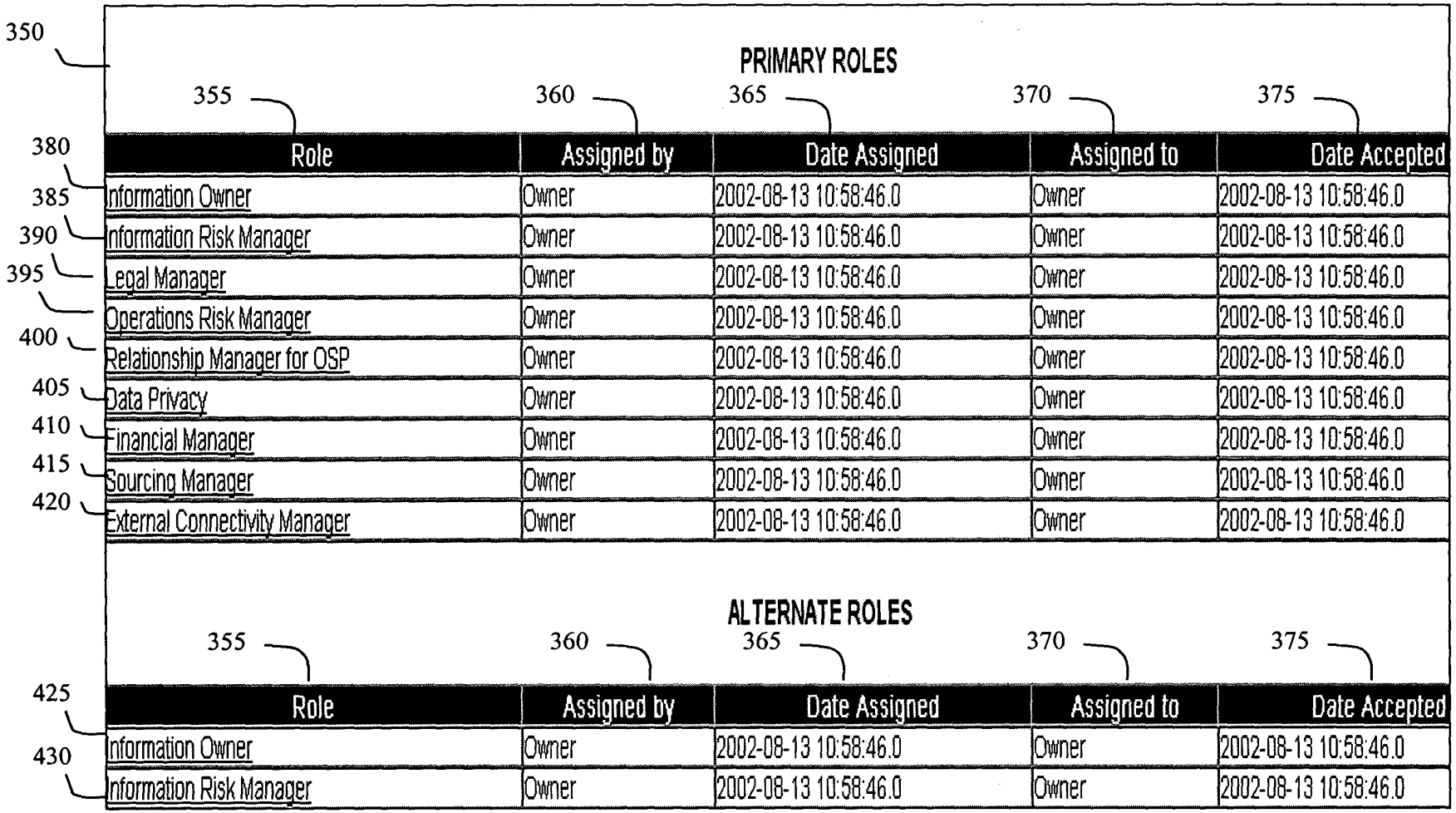

350
PRIMARY ROLES
355
360
365
370
375
380
385
390
395
400
405
410
415
420
Role
Assigned by
Date Assigned
Assigned to
Date Accepted
Information Owner
Information Risk Manager
Legal Manager
Operations Risk Manager
Relationship Manager for OSP
Data Privacy
Financial Manager
Sourcing Manager
External Connectivity Manager
Owner
2002-08-13 10:58:46.0
ALTERNATE ROLES
425
430
Information Owner
Information Risk Manager

FIG. 6

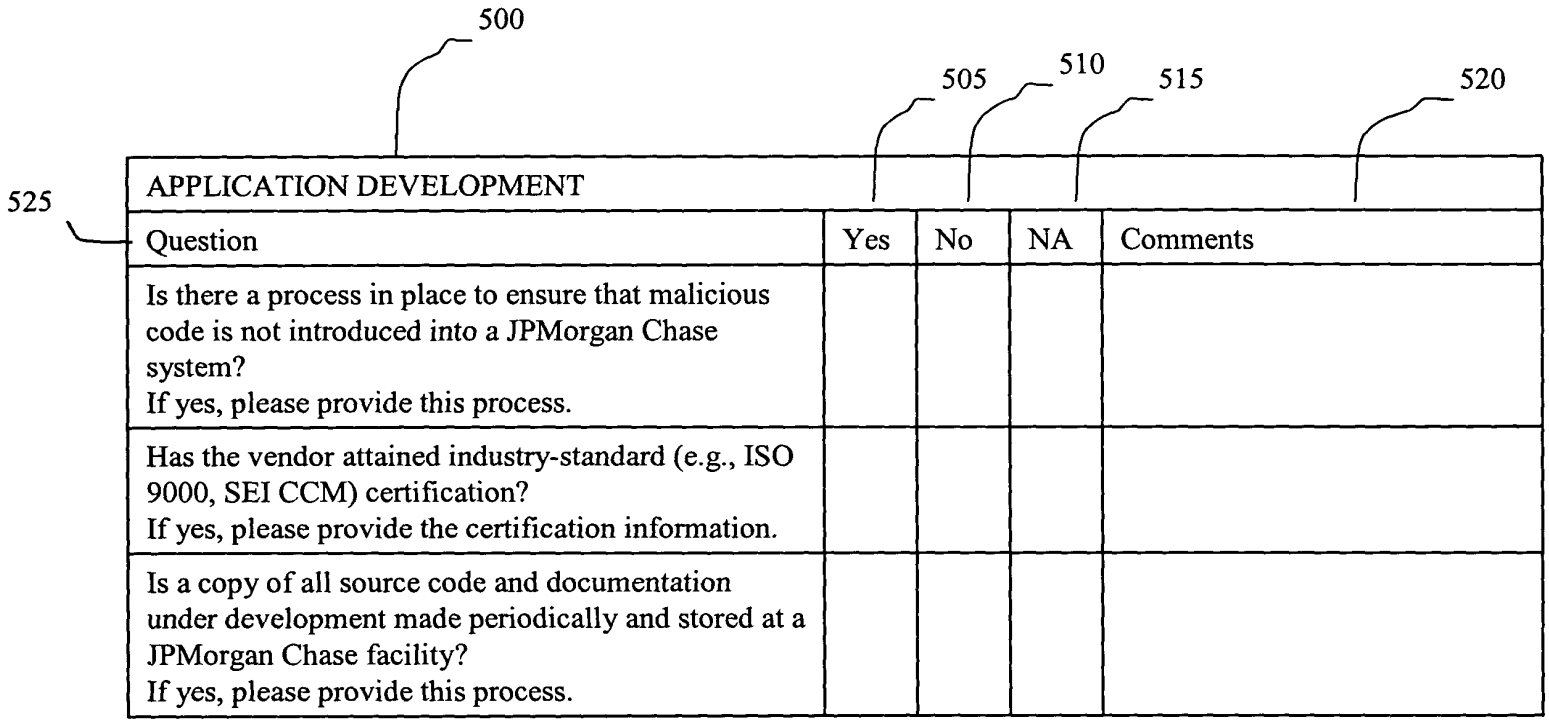

500
505
510
515
520
525
APPLICATION DEVELOPMENT
Question
Yes
No
NA
Comments
Is there a process in place to ensure that malicious code is not introduced into a JPMorgan Chase system?
If yes, please provide this process.
Has the vendor attained industry-standard (e.g., ISO 9000, SEI CCM) certification?
If yes, please provide the certification information.
Is a copy of all source code and documentation under development made periodically and stored at a JPMorgan Chase facility?
If yes, please provide this process.

FIG. 7

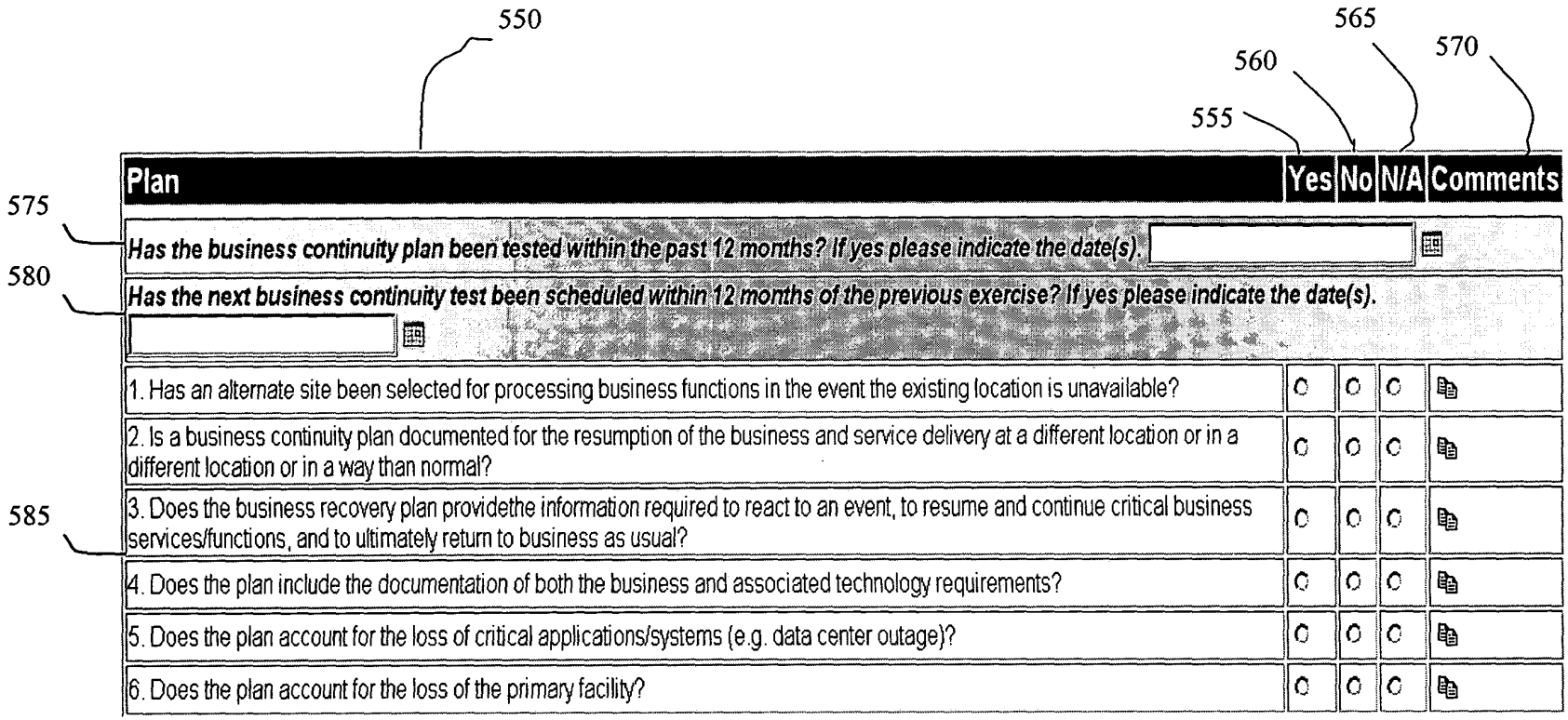

550
565
560
570
555
Plan
Yes
No
N/A
Comments
575
Has the business continuity plan been tested within the past 12 months? If yes please indicate the date(s).
580
Has the next business continuity test been scheduled within 12 months of the previous exercise? If yes please indicate the date(s).
1. Has an alternate site been selected for processing business functions in the event the existing location is unavailable?
2. Is a business continuity plan documented for the resumption of the business and service delivery at a different location or in a different location or in a way than normal?
585
3. Does the business recovery plan providethe information required to react to an event, to resume and continue critical business services/functions, and to ultimately return to business as usual?
4. Does the plan include the documentation of both the business and associated technology requirements?
5. Does the plan account for the loss of critical applications/systems (e.g. data center outage)?
6. Does the plan account for the loss of the primary facility?

FIG. 8

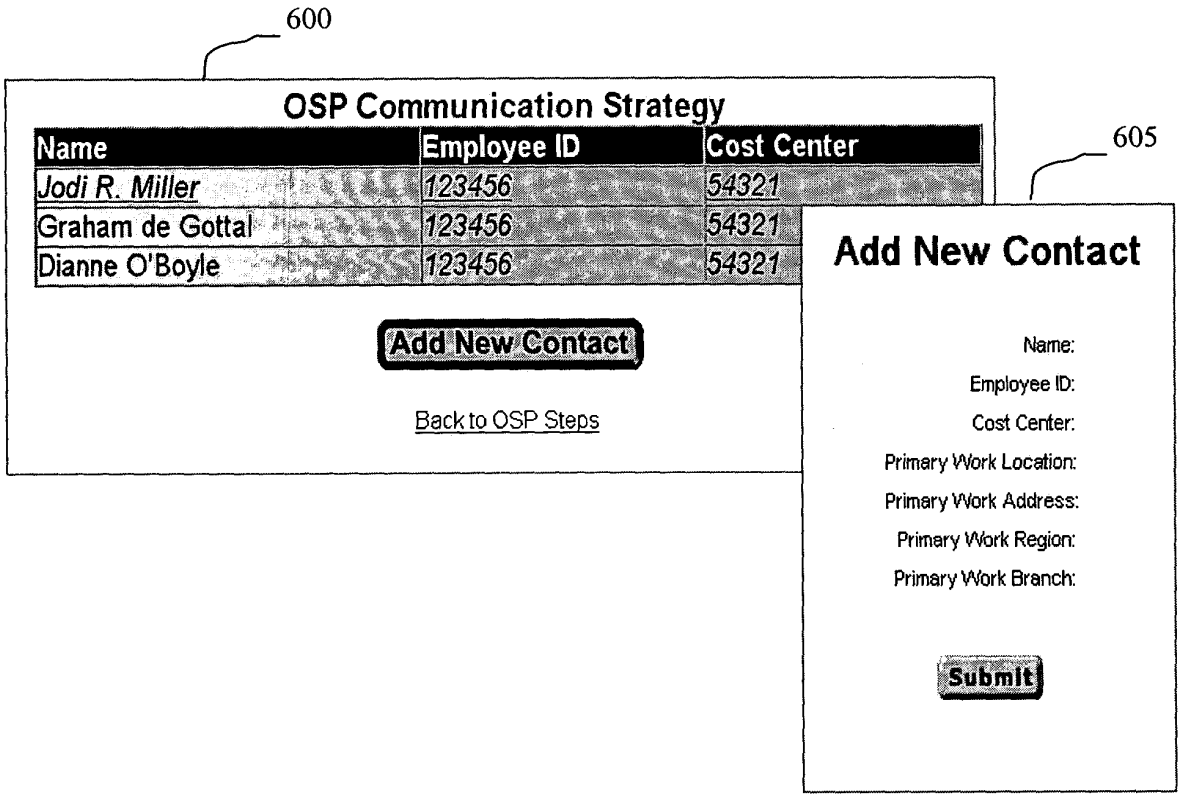
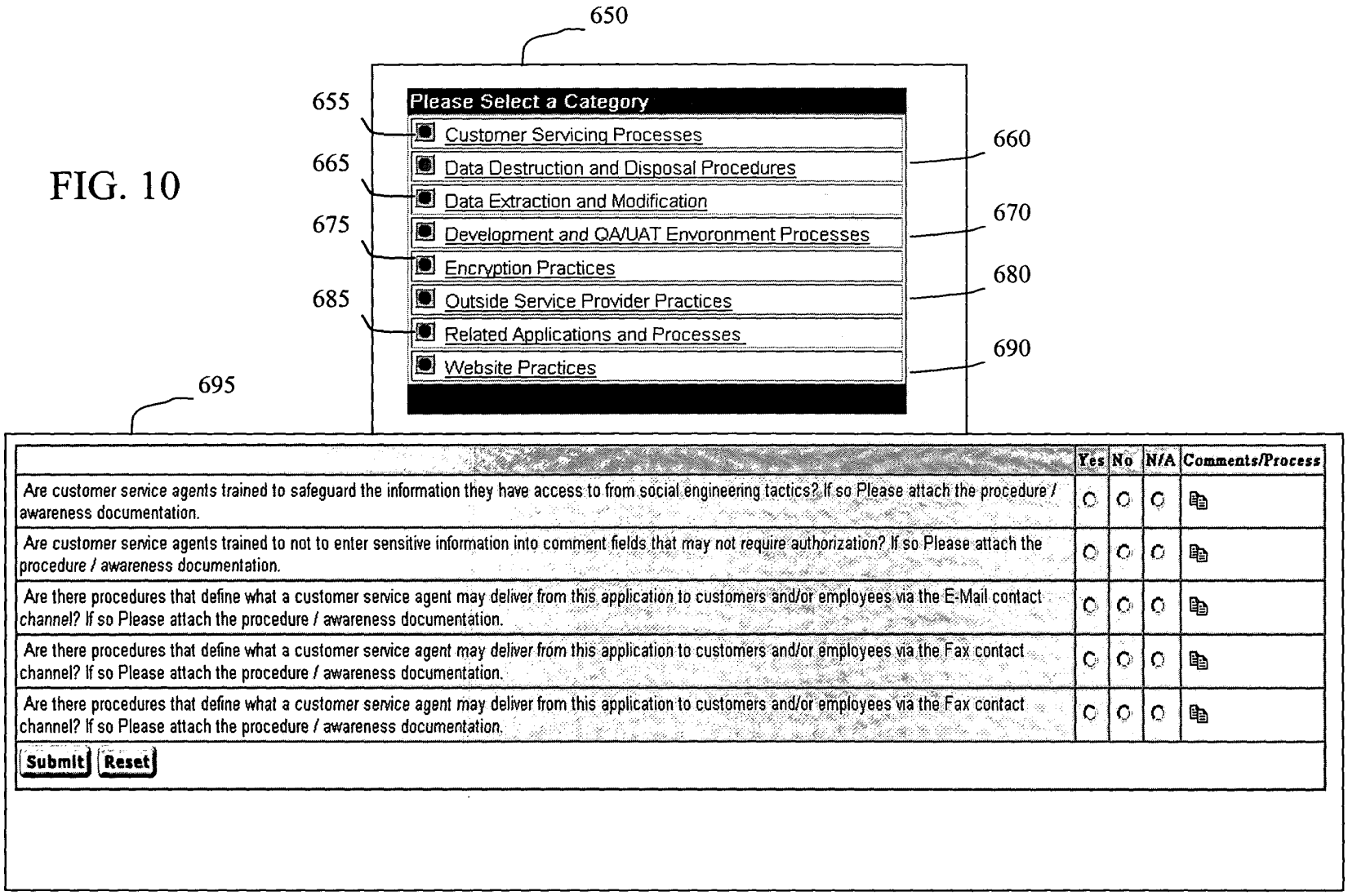

600
OSP Communication Strategy
Name
Employee ID
Cost Center
Jodi R. Miller
123456
54321
Graham de Gottal
123456
54321
Dianne O'Boyle
123456
54321
Add New Contact
Back to OSP Steps
605
Add New Contact
Name:
Employee ID:
Cost Center:
Primary Work Location:
Primary Work Address:
Primary Work Region:
Primary Work Branch:
Submit

FIG. 9

FIG. 10


650
655
665
675
685
660
670
680
690
695
Please Select a Category
Customer Servicing Processes
Data Destruction and Disposal Procedures
Data Extraction and Modification
Development and QA/UAT Environment Processes
Encryption Practices
Outside Service Provider Practices
Related Applications and Processes
Website Practices
Yes
No
N/A
Comments/Process
Are customer service agents trained to safeguard the information they have access to from social engineering tactics? If so Please attach the procedure / awareness documentation.
Are customer service agents trained to not to enter sensitive information into comment fields that may not require authorization? If so Please attach the procedure / awareness documentation.
Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the E-Mail contact channel? If so Please attach the procedure / awareness documentation.
Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the Fax contact channel? If so Please attach the procedure / awareness documentation.
Are there procedures that define what a customer service agent may deliver from this application to customers and/or employees via the Fax contact channel? If so Please attach the procedure / awareness documentation.
Submit
Reset

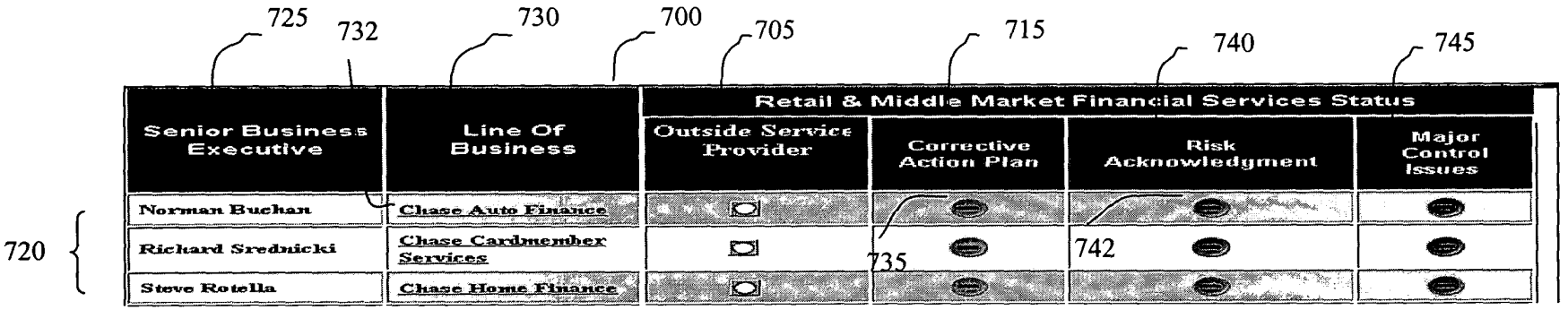

725
732
730
700
705
715
740
745
Retail & Middle Market Financial Services Status
Senior Business Executive
Line Of Business
Outside Service Provider
Corrective Action Plan
Risk Acknowledgment
Major Control Issues
Norman Buchan
Chase Auto Finance
Richard Srednicki
Chase Cardmember Services
Steve Rotella
Chase Home Finance
720
735
742

FIG. 11

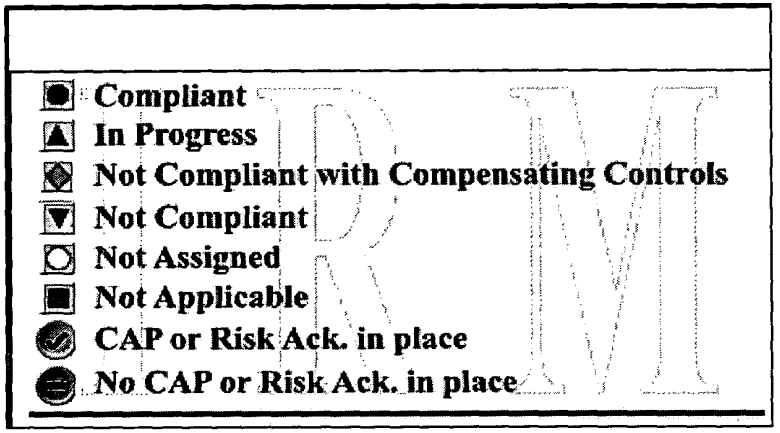

Compliant
In Progress
Not Compliant with Compensating Controls
Not Compliant
Not Assigned
Not Applicable
CAP or Risk Ack. in place
No CAP or Risk Ack. in place

FIG. 12

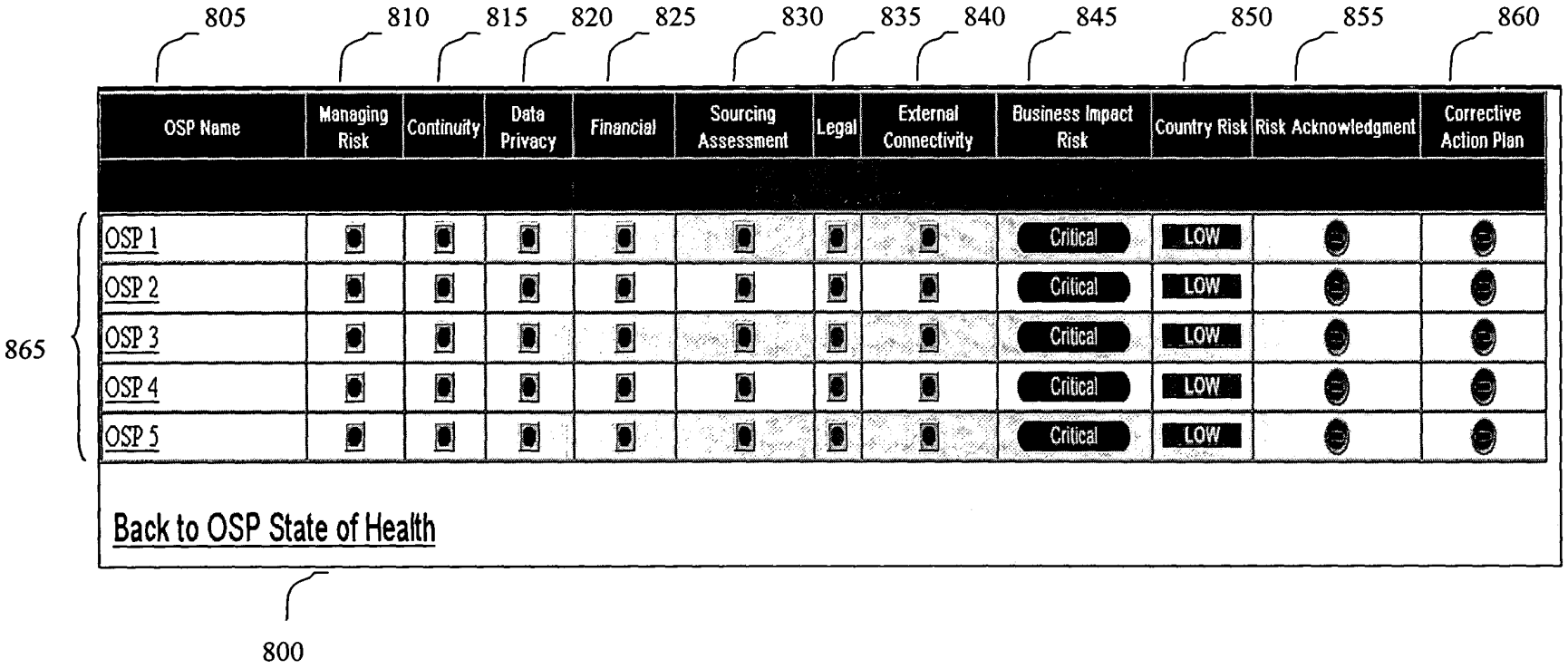

805
810
815
820
825
830
835
840
845
850
855
860
OSP Name
Managing Risk
Continuity
Data Privacy
Financial
Sourcing Assessment
Legal
External Connectivity
Business Impact Risk
Country Risk
Risk Acknowledgment
Corrective Action Plan
OSP 1
OSP 2
OSP 3
OSP 4
OSP 5
Critical
LOW
865
Back to OSP State of Health
800

FIG. 13